

INSTRUCTIONS FOR COMPLETION AND SUBMISSION OF FORM U-10

1. Complete Items 1-6 in full. Identify the examination(s) being requested under Item 7. Failure to complete all items will cause the application to be returned unprocessed.
2. Attach a single check or money order made payable to NASD Regulation, Inc. for the total amount of examination fees due. Print the candidate's and firm's name on the face of the check.

NOTE: Examination fees are *NOT REFUNDABLE*.

3. Send the fully completed Form U-10 together with your check or money order for the total examination fees due to:

NASD Regulation, Inc. • P.O. Box 9401 • Gaithersburg, Maryland 20898-9401 • Attn: Examination Section
4. Form U-10 will not be processed until the necessary authorization is provided directly to NASD Regulation by the appropriate regulatory authority. If the required authorization is not received from the appropriate regulatory authority within thirty (30) days of the date of receipt, Form U-10 will be returned unprocessed.

SCHEDULING/ENROLLMENT INFORMATION

1. Examination enrollment confirmations and examination results will be provided to the firm named in Item 4 at the address and to the attention of the contact person as shown in Item 5. Responsibility lies with the recipient of the grade results to make and disseminate copies to the candidate and appropriate regulatory authorities. NASD Regulation assumes no responsibility for providing copies of results to the regulatory authorities.
2. Examination fees and enrollments are NOT TRANSFERABLE to another individual or test for the same individual.
3. Examination enrollments are valid for 120 calendar days only. Persons without valid enrollments will not be permitted to take an examination. Candidates must make the necessary appointment and take the examination before the expiration date as shown on the enrollment confirmation or the enrollment expires and the fee is forfeited.
4. To re-enroll for a failed examination, forfeited enrollment or an expired enrollment, resubmit Form U-10 and the appropriate examination fee(s).

EXAMINATION ADMINISTRATION INFORMATION

Exam and training sessions are provided at several authorized NASD Regulation testing centers throughout the United States. Complete information concerning examination administration, test center locations and admittance requirements will be mailed with the Candidate's Enrollment Confirmation. For additional information, contact the NASD Regulation Gateway Call Center, at (301) 590-6500 or you can access the current list of authorized NASD Regulation testing centers on the NASD Regulation Web Site at www.nasdr.com.

Candidates must contact the appropriate testing center to make an appointment. Appointments cannot be made until examination enrollment confirmations are received. If, for any reason, a candidate cannot make a scheduled appointment, the appointment must be cancelled. Responsibility rests with the candidate or firm to make and/or cancel appointments on a timely basis directly with the appropriate testing center. The examination enrollment and fee will be forfeited if an appointment is not cancelled in accordance with the required notification criteria, the candidate fails to appear for an appointment or arrives at the test center so late that his/her session cannot begin without disrupting the center schedule for that date. If a holiday occurs during the normal cancellation period, this schedule adjusts to define "timely cancellation" as one day earlier than stated below. Cancellation will be considered timely if effected according to the following schedule:

If appointment is scheduled for:

Cancellation must be effected no later than noon on:

Monday	Friday of the preceding week
Tuesday	Saturday of the preceding week
Wednesday	Monday of the same week
Thursday	Tuesday of the same week
Friday	Wednesday of the same week
Saturday	Thursday of the same week

FORM U-10

UNIFORM EXAMINATION REQUEST FOR NON-NASD CANDIDATES

Prior to completing this form please refer to the instructions on page 1 regarding completion, enrollment confirmation, grade results, and examination administration information.

ELIGIBILITY OF CANDIDATES

Form U-10, the Uniform Examination Request for non-NASD Candidates, is designed for use by individuals not employed or associated with NASD member firms who, as part of a registration process, have been specifically required by another regulatory authority to qualify by examination. (Persons seeking NASD registration must be employed by or associated with an NASD member firm. All examination schedulings for persons associated with NASD member firms or firms applying for NASD membership must be made by the firm on Form U-4.)

Responsibility rests with the candidates and their firms to: 1) ascertain directly from the appropriate regulatory authority specific advice as to which qualifying examination is required; 2) provide the necessary registration application to that agency in accordance with their requirements; and 3) determine what that regulator requires of them before the agency will provide NASD Regulation with the necessary authorization to proceed with Form U-10 processing and test scheduling.

NASD Regulation assumes no responsibility for contacting another regulatory agency with respect to provision of the required authorization or the candidate's choice of examination.

1. Candidate's Name _____ 2. Social Security No. _____

3. Candidate's Home Address _____
Street City State Zip

4. Firm Name _____

5. Firm Address _____
Street City State Zip

Firm Contact and Telephone Number _____
Name Telephone

6. Identify the state, self-regulatory or bank regulatory agency with which the firm is registered and is requiring the qualification/registration of the candidate:

- ☐ American Stock Exchange
- ☐ Chicago Board Options Exchange
- ☐ Comptroller of the Currency
- ☐ Federal Deposit Insurance Corporation
- ☐ Federal Reserve Board
- ☐ Midwest Stock Exchange
- ☐ National Futures Association
- ☐ New York Stock Exchange
- ☐ Pacific Stock Exchange
- ☐ Philadelphia Stock Exchange

- ☐ State of (identify the State and the regulatory agency)

- ☐ OTHER (indicate the full name of the regulatory authority)

7. Check the appropriate box(es) beside each examination to be scheduled. The applicable exam fee follows each test.

A. *The following examinations will be scheduled and administered by NASD Regulation only when the required authorization is received directly from the respective State Administrator or self-regulatory organization identified under Item 6. These examinations are available only to individuals who have made application for registration with a state regulator or SRO and are specifically required by the regulator to qualify by one of these examinations.*

<input type="radio"/> Series 4	Registered Options Principal	\$75	<input type="radio"/> Series 27	Financial and Operations Principal	\$75
<input type="radio"/> Series 5	Interest Rate Options	\$60	<input type="radio"/> Series 28	Introducing Broker/Dealer Financial and Operations Principal	\$75
<input type="radio"/> Series 6	Investment Company and Variable Contracts Products Representative	\$60	<input type="radio"/> Series 39	Direct Participation Programs Principal	\$75
<input type="radio"/> Series 7	General Securities Representative	\$200	<input type="radio"/> Series 42	Registered Options Representative	\$60
<input type="radio"/> Series 9	General Securities Sales Supervisor-Options Module	\$50	<input type="radio"/> Series 55	Limited Representative Equity Trader	\$60
<input type="radio"/> Series 10	General Securities Sales Supervisor-General Module	\$60	<input type="radio"/> Series 62	Corporate Securities Representative	\$60
<input type="radio"/> Series 11	Assistant Representative-Order Processing	\$60	<input type="radio"/> Series 72	Government Securities Representative	\$60
<input type="radio"/> Series 15	Foreign Currency Options	\$60	<input type="radio"/> Other (Please specify test series number and name):		
<input type="radio"/> Series 22	Direct Participation Programs Representative	\$60			
<input type="radio"/> Series 24	General Securities Principal	\$75			
<input type="radio"/> Series 26	Investment Company and Variable Contracts Products Principal	\$75			

B. *The following examinations will be scheduled only for individuals associated with municipal securities dealers registered with the bank regulatory agency identified under Item 6.*

<input type="radio"/> Series 52	Municipal Securities Representative	\$60
<input type="radio"/> Series 53	Municipal Securities Principal	\$75

C. *The following examinations **do not** require authorization from a State Administrator or self-regulatory organization.*

<input type="radio"/> Series 3	National Commodities Futures	\$75
<input type="radio"/> Series 30	Branch Managers Examination-Futures	\$60
<input type="radio"/> Series 31	Futures Managed Funds Examination	\$60
<input type="radio"/> Series 32	Limited Futures Examination-Regulation	\$60
<input type="radio"/> Series 33	Financial Instruments Examination	\$60
<input type="radio"/> Series 63	Uniform Securities Agent State Law Examination	\$70
<input type="radio"/> Series 65	Uniform Investment Advisor Law Examination	\$110
<input type="radio"/> Series 66	Uniform Combined State Law Examination	\$110

D. *Continuing Education Computer-Based Training Programs*

<input type="radio"/>	Continuing Education Regulatory Element General Program	\$65
<input type="radio"/>	Continuing Education Regulatory Element Supervisors Program	\$65

Do not detach this page.

For NASD Regulation Use Only

Please do not write in this area.

Amount of Payment Enclosed: \$ _____

EXAM REQUESTED	AMOUNT	ACCOUNT NO.

1. Candidate's Name _____ **2. Social Security No.** _____

3. Candidate's Home Address _____
Street City State Zip

4. Firm Name _____

5. Firm Address _____
Street City State Zip

Firm Contact and Telephone Number _____
Name Telephone

5/00

NASD Regulation, Inc. • P.O. Box 9401 • Gaithersburg, MD 20898-9401
Attn: Examination Section

